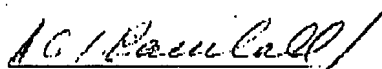


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Anne E. Barschall

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Patent Application Ser. No.: 10/510,310

Group Art Unit: 2875

Filing Date: 10/06/2004

Examiner: W. J. CARTER

Attorney Docket Number NL020329

Confirmation No.: 7470

Inventor Name(s): PETERS

Title: LIGHTING UNIT

Commissioner for Patents  
P.O. Box 1450  
Alexandria VA 22313-1450

EXAMINER INTERVIEW SUMMARY

Sir:

F:\v\020329 -- examiner interview summary signed.doc

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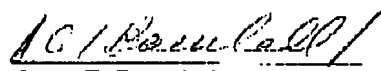
On April 12, 2007, the undersigned conducted a telephone conversation with Examiner Carter. This conversation related to the the advisory action dated January 23, 2007. The questions posed by the undersigned were:

1. Were the amendments to the claims entered?
2. Was the Examiner persuaded by the arguments with respect to the drawing?
3. Did the amendments satisfy the formal objection with respect to claim 9?
4. Are claims 9-12 now allowed?

The undersigned understood, based on the interview, that the answers to all these questions were "Yes."

The Examiner also faxed the undersigned a revised advisory action, copy enclosed.

Respectfully submitted,



By \_\_\_\_\_

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(914) 332-1019  
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April 18, 2007

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USPTO

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<b>Advisory Action Before the Filing of an Appeal Brief</b>	Application No. 10/510,310	Applicant(s) PETERS, RALPH HUBERT	
	Examiner William J. Carter	Art Unit 2875	

**-The MAILING DATE of this communication appears on the cover sheet with the correspondence address -**

**THE REPLY FILED 31 December 2006 FAILS TO PLACE THIS APPLICATION IN CONDITION FOR ALLOWANCE.**

1. ☒ The reply was filed after a final rejection, but prior to or on the same day as filing a Notice of Appeal. To avoid abandonment of this application, applicant must timely file one of the following replies: (1) an amendment, affidavit, or other evidence, which places the application in condition for allowance; (2) a Notice of Appeal (with appeal fee) in compliance with 37 CFR 41.31; or (3) a Request for Continued Examination (RCE) in compliance with 37 CFR 1.114. The reply must be filed within one of the following time periods:

a) ☒ The period for reply expires 3 months from the mailing date of the final rejection.

b) ☐ The period for reply expires on: (1) the mailing date of this Advisory Action, or (2) the date set forth in the final rejection, whichever is later. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the mailing date of the final rejection.

Examiner Note: If box 1 is checked, check either box (a) or (b). **ONLY CHECK BOX (b) WHEN THE FIRST REPLY WAS FILED WITHIN TWO MONTHS OF THE FINAL REJECTION. See MPEP 706.07(i).**

Extensions of time may be obtained under 37 CFR 1.136(a). The date on which the petition under 37 CFR 1.136(a) and the appropriate extension fee have been filed is the date for purposes of determining the period of extension and the corresponding amount of the fee. The appropriate extension fee under 37 CFR 1.17(a) is calculated from: (1) the expiration date of the shortened statutory period for reply originally set in the final Office action; or (2) as set forth in (b) above, if checked. Any reply received by the Office later than three months after the mailing date of the final rejection, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**NOTICE OF APPEAL**

2. ☐ The Notice of Appeal was filed on \_\_\_\_\_. A brief in compliance with 37 CFR 41.37 must be filed within two months of the date of filing the Notice of Appeal (37 CFR 41.37(a)), or any extension thereof (37 CFR 41.37(e)), to avoid dismissal of the appeal. Since a Notice of Appeal has been filed, any reply must be filed within the time period set forth in 37 CFR 41.37(a).

**AMENDMENTS**

3. ☐ The proposed amendment(s) filed after a final rejection, but prior to the date of filing a brief, will not be entered because:

(a) ☐ They raise new issues that would require further consideration and/or search (see NOTE below);

(b) ☐ They raise the issue of new matter (see NOTE below);

(c) ☐ They are not deemed to place the application in better form for appeal by materially reducing or simplifying the issues for appeal; and/or

(d) ☐ They present additional claims without canceling a corresponding number of finally rejected claims.

NOTE: \_\_\_\_\_. (See 37 CFR 1.116 and 41.33(a)).

4. ☐ The amendments are not in compliance with 37 CFR 1.121. See attached Notice of Non-Compliant Amendment (PTOL-324).

5. ☐ Applicant's reply has overcome the following rejection(s): \_\_\_\_\_.

6. ☒ Newly proposed or amended claim(s) 2-12 would be allowable if submitted in a separate, timely filed amendment canceling the non-allowable claim(s).

7. ☒ For purposes of appeal, the proposed amendment(s): a) ☐ will not be entered, or b) ☒ will be entered and an explanation of how the new or amended claims would be rejected is provided below or appended.

The status of the claim(s) is (or will be) as follows:

Claim(s) allowed: 4 and 9-12.

Claim(s) objected to: \_\_\_\_\_.

Claim(s) rejected: 1-3, 6-8, and 13-18.

Claim(s) withdrawn from consideration: \_\_\_\_\_.

**AFFIDAVIT OR OTHER EVIDENCE**

8. ☐ The affidavit or other evidence filed after a final action, but before or on the date of filing a Notice of Appeal will not be entered because applicant failed to provide a showing of good and sufficient reasons why the affidavit or other evidence is necessary and was not earlier presented. See 37 CFR 1.116(e).

9. ☐ The affidavit or other evidence filed after the date of filing a Notice of Appeal, but prior to the date of filing a brief, will not be entered because the affidavit or other evidence failed to overcome all rejections under appeal and/or appellant fails to provide a showing of good and sufficient reasons why it is necessary and was not earlier presented. See 37 CFR 41.33(d)(1).

10. ☐ The affidavit or other evidence is entered. An explanation of the status of the claims after entry is below or attached.

**REQUEST FOR RECONSIDERATION/OTHER**

11. ☒ The request for reconsideration has been considered but does NOT place the application in condition for allowance because:  
See Continuation Sheet.

12. ☐ Note the attached Information Disclosure Statement(s). (PTO/SB/08) Paper No.(s). \_\_\_\_\_

13. ☐ Other: \_\_\_\_\_

U.S. Patent and Trademark Office  
PTOL-303 (Rev. 08-08)

Advisory Action Before the Filing of an Appeal Brief

Part of Paper No. 20070117

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Application No. 10/518,310

Continuation Sheet (PTO-303)

Continuation of 11, does NOT place the application in condition for allowance because: The case of *In re Larson* is an acceptable way of teaching making integral. Also if items 10 and 22 of Maassen "together form a sleeve" and item 10 is a cap, then the cap forms part of the sleeve. The transition, the Applicant speaks of, is not defined in claim 3. The transition could be anything as defined by claim 3, even an "edge." A transition need not be, smooth or even flowing, a transition can be abrupt or even an "interruption" that marks the transition from one piece (cap 10) to another (sleeve 24). As for claims 7, 8, 13-17, and 19, all of the claimed elements are discussed in the office action in the discussion of claims 1-3 and 5 below this rejection and then the remaining details are each discussed in the paragraph designated to the particular claims. Both the cap (10) and collar (7) are both intended to have opaque characteristics, so it would have been obvious to make the cap opaque with the same technique used to make the collar opaque. Zhao is analogous art, and teaches creating energy efficient light with a motivation to combine in order to utilize a light source (column 7, lines 50-53) in an energy efficient light (Abstract). As for Hasegawa, optical element like the one used with the LED of Hasegawa are commonly used with other types of lighting. Further the ring of claim 7, was identified in Maassen and therefore this piece would be used in the combination of Hasegawa and Maassen in order to intercept light rays. The motivation to combine Maassen and Hasegawa is to provide a simple structure to diffuse the light emitting by the light source (column 1, lines 38-45). As for the double patenting, the claims do not distinguish the co-pending applications as non-obvious.